

**NORTHERN PLAINS AREA**  
**Policy Memorandum**

<b>DATE:</b>	April 23, 2004
<b>SUBJECT:</b>	Submission of the ARS-115/Publication in ARIS
<b>NUMBER:</b>	PM-04-001
<b>EFFECTIVE DATE:</b>	April 23, 2004 (Supersedes PM-03-006, issued June 25, 2003)

**1. Purpose**

An ARS-115 *Request to Submit Manuscript for Publication* is required whenever an ARS employee wishes to publish any kind of publication. In addition, it is also required whenever an employee is to present a paper, talk, poster, etc., at any scientific meeting, specifically in which a publication such as an abstract and/or proceedings are to be published.

**2. Delegation of Authority**

- C Center/Lab Directors and Research Leaders without a Center/Lab Director are hereby delegated authority for Location approval of their unit's publications. Included in the delegated authority is responsibility for approving authorship. (Supersedes NPA memo dated March 3, 1999).
- C **EXCEPTION:** ARS-115's marked as a *High Priority Issue* will continue to be automatically forwarded to the Area Office for approval and processing. (Current list can be accessed at <http://www/npstaff.ars.usda.gov/ARIS/Manual> and selecting Chapter 5. 115 Manuscript Approval, Pages 31-32).

**3. Requirements for Submission of an ARS-115**

- C All ARS-115's **must** be entered into ARIS, and line management approvals from **all levels** (RL/LD/CD, Area, NPS, and/or OTT as applicable) must be obtained, **prior** to submitting the publication to the journal, and/or giving the presentation.
- C **Publications listing CRADA Cooperators/Non-ARS Authors:** The Unit/Location ARIS User is **not** authorized to enter the ARS-115 until a copy of each CRADA Cooperator/Non-ARS Author clearance is provided. All clearance authorizations must be on file with the ARS-115 in the official Unit/Location files.
- C The ARS employee initiating the ARS-115 is responsible for obtaining CRADA Cooperator/Non-ARS Author clearance approvals from all authors, and ARS-533 Peer Review forms.
  - C Verbal authorizations are **not** acceptable.
  - C E-mail authorizations from CRADA Cooperators/Non-ARS Authors are acceptable.
  - C In-house, local reproduction clearance forms are acceptable (see attached).
- C **Date Submitted to Journal** (also referred to as the *Submission Date*): the ARS scientist must provide the date he/she is submitting the publication to the journal. (This is **not** the same as the date the ARS-115 is entered into ARIS).

## Acceptance and Publication Dates:

- C The ARS scientist is **required to provide both dates** to the ARIS User as soon as each date is known.
- C Entry of each of these dates into ARIS is critical to the process of transmitting publication information to the Tektran and USDA, ARS web site in a timely manner.  
(<http://www.usda.ars.gov>).
- C The publication cannot be used in the annual ARS-421 Progress Report unless there is an approved ***ARS-115 Manuscript Approval*** for every publication, which does not occur until the above dates are entered.

## 4. Accountability

- C The RL is responsible for verifying the CRADA Cooperator/Non-ARS Author clearance approvals, and/or ARS-533 Peer Review forms, have been received and are credible. All copies of the ARS-533 Peer Review forms for every peer-reviewed manuscript submission must be in the official ARS-115 file maintained by the Unit/Location.
- C The RL/LD/CD line management approvals are required before the ARS-115 can be released to the next level of review. RL/LD/CD signatures must be handwritten, or initialed, authorizing release of the ARS-115. The original signature ARS-115 ARIS printout must be maintained in the official ARS-115 file at the Research Unit/Location level.
- C Checking the **hold** blocks for Tektran reporting does **not** release the ARS employee from obtaining CRADA Cooperator/Non-ARS Author clearance approvals.
- C **If the publication supports CRADA research:**
  - C The CRADA number must be identified.
  - C The CRADA Cooperator must provide written clearance.
  - C A copy of the CRADA Cooperator clearance authorization must be sent to the NPA Technology Transfer Coordinator.
- C The Submitter of the ARS-115:
  - C Must be an ARS employee, and a Cat. 1, 4, or 6.
  - C The Research Unit has the discretion to determine if the Research Leader will be listed as the Submitter.

## 5. References

- C A copy of the REE policy memos providing guidance on the procedures and responsibilities for publishing manuscripts and abstracts can be found at the following web address:  
<http://www.ars.usda.gov>
  - C Policies and Procedures 151.1 dated May 21, 1998
  - C Policies and Procedures 152.1 dated March 10, 1998

## 6. Compliance and Monitoring

- C Annual ARMPS reviews will include the review of ARS-115 files for randomly selected unit employees. Files will be audited for CRADA Cooperator/Non-ARS Author clearance approvals, and credible ARS-533 Peer Review forms.

## 7. ARS-115 Revisions

- C The ARS-115 Log number must now be selected in ARIS for each publication entered in the annual ARS-421 Progress Report. If there is no ARS-115, then the publication cannot be entered in the publication section of the ARS-421.
- C Uses a slightly modified Name-Year System from the Council of Biology Editors (CBE) Scientific Style.
- C Uses periods after First Name and Middle Initial.
- C Full titles of journals will be spelled out because of the way the titles will propagate from the Journal Code database.

## 8. Questions, Assistance, Guidance

- C Cooperator clearance for Non-ARS Authors and/or High Priority Issues. Dr. Eric Roos, Acting Associate Area Director. (970)492-7058; [eric.roos@ars.usda.gov](mailto:eric.roos@ars.usda.gov)
- C CRADA Cooperator notifications/clearances and CRADA related research; Patents and Inventions. Dr. Bryan Kaphammer, NPA Technology Transfer Coordinator. (970)492-7028; [bryan.kaphammer@ars.usda.gov](mailto:bryan.kaphammer@ars.usda.gov)
- C ARIS data entry: Marcie Currie-Gross, Extramural Agreements Assistant. (970)492-7022; [marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)

/s/

W.H. Blackburn  
Area Director  
Northern Plains Area